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ABSTRACT

This volume contains papers presented at a symposium which focused on ways to mediate or tailor change facilitation efforts. The symposium's purpose was to: (1) describe and analyze the best clinical attempts to use Concerns Based Adoption Model (CBAM) tools as guides for mediating staff development efforts; (2) present a conceptual scheme for viewing and resolving teachers' personal concerns within staff development efforts; and (3) present implications for the use of CBAM tools as mediators of staff development efforts. Papers presented were: "Installing New Reading Programs: A Business/Education Application of Stages of Concern to Mediate Staff Development Efforts" (Raymonde Pelland and Leslie Huling-Austin); (2) "Using a Concerns-Based Staff Development Model to Implement a District-Wide Primary Integrated Curriculum" (Marge Melle); (3) "A Progress Report That Counts" (Madalyn McDonald Cooke); and (4) "Addressing Teachers' Personal Concerns in Staff Development Efforts" (David D. Marsh and Maryalice Jordan-Marsh). Discussant remarks are made by Susan Loucks-Horsley and Gene E. Hall. (CB)

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UTILIZING TEACHER CONCERNS TO MEDIATE STAFF DEVELOPMENT EFFORTS

David D. Marsh
Raymonde Pelland
Marge Melle
Madalyn Cooke

Discussants

Gene E. Hall
Susan Loucks-Horsley

Report No. 3215

Paper presented at the American Educational Research Association

April 1985

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INTRODUCTION

Over the past decade, the Research and Development Center for Teacher Education at the University of Texas at Austin has developed and refined the Concerns-Based Adoption Model (CBAM) as a conceptual framework for monitoring an individual's use of an innovation. The CBAM framework includes three diagnostic dimensions: a) Stages of Concern (SoC) which assesses teacher, or other user, concerns about an innovation, b) Levels of Use (LoU) which assesses a teacher's actual extent of use of the innovation, and c) Innovation Configuration (IC) which describes the innovation, and its variations, as they actually appear in practice.

This AERA symposium focused on the use of these tools, especially SoC, as a way to mediate or tailor local change facilitation efforts. The purpose of the symposium was:

1. To describe and analyze the best clinical attempts to use CBAM tools as guides for mediating staff development efforts.

2. To present a conceptual scheme for viewing and resolving teachers' personal concerns (SoC 2) within staff development efforts.

3. To present implications for the use of CBAM tools as mediators of staff development efforts. These implications are focused on needed research as well as on proposed improvements in practice.

The papers illustrate the very wide range of application of these tools in practical change facilitation situations. One paper describes the use of the CBAM tools by a major textbook publishing house as it tries to support the implementation of its textbooks in local settings. Other papers describe the use of CBAM tools in local school and/or district settings, and include preliminary information about the results of these efforts. A final paper focuses on a difficult issue for practitioners -- the resolution of teachers' personal concerns. Drawing on the literature of several fields in psychology, the paper proposes a set of approaches for addressing these personal concerns.

The papers are not the culmination of extensively funded experimental research. Instead, they are retrospective case studies which have great value. They are rich in detail as to how practitioners proceeded to use the CBAM tools in real change situations. They also illustrate how the tools were integrated within a set of broader change strategies. Change facilitators can learn much from the clinical change facilitation orientation of these studies and from the wisdom of the practitioners who used the CBAM tools in these projects.

At the same time, the case studies have considerable implications for research on how to enhance the change process using these tools. Because of funding constraints, CBAM research to date has focused primarily on the use of the CBAM tools as dependent variables in the study of the implementation process. This symposium documents and analyzes the use of the CBAM tools as part of the change facilitation process itself. The papers have a number of implications for the directions this line of research needs to take in the future.

David Marsh
Symposium Organizer

INSTALLING NEW READING PROGRAMS:

A BUSINESS/EDUCATION APPLICATION OF STAGES OF CONCERN

TO MEDIATE STAFF DEVELOPMENT EFFORTS

Raymonde Pelland

Ginn and Company
Lexington, Massachusetts

Leslie Huling-Austin

Research and Development Center for Teacher Education
The University of Texas at Austin

Paper presented at the annual meeting of the
American Educational Research Association
Chicago, 1985

Installing New Reading Programs:

A Business/Education Application of Stages of Concern to Mediate Staff Development Efforts[1]

Raymonde Pelland

Ginn and Company
Lexington, Massachusetts

Leslie Huling-Austin

Research and Development Center for Teacher Education
The University of Texas at Austin

As one means of serving their clients, Ginn and Co. made a commitment in the early 1980's to provide inservice workshops for teachers that more closely related to their needs. The vehicle for assessing these needs and ultimately designing appropriate inservice activities is Stages of Concern about the Innovation (SoC), one of the diagnostic dimensions of the Concerns-Based Adoption Model (Hall, Wallace, & Dossett, 1973). The Concerns-Based Adoption Model (CBAM) was developed by researchers at the Research and Development Center for Teacher Education at the University of Texas at Austin from extensive study of the educational change process. Diagnosing teacher needs and providing relevant staff development activities is a major goal of the CBAM research (Hall & Loucks, 1978). This paper provides an account of the efforts of Ginn and Co., in collaboration with the Texas R&D Center, to improve their means of facilitating teachers' use of Ginn reading programs through concerns-based inservice. The use of CBAM, and especially Stages of Concern, proved an important breakthrough to

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[1]Paper presented at the annual meeting of the American Educational Research Association, Chicago, Illinois, April, 1985.

understanding the nature of teachers' needs and problems related to the use of new programs as well as ways to address these needs.

The Concerns-Based Adoption Model

Much of the CBAM research has investigated the process of adopting innovations and what happens to individuals as they move from non-users of an innovation to becoming involved in its implementation. For purposes of this work, an innovation is defined as anything that is new to an individual. Therefore, in the case of Ginn and Co., the innovation under consideration is the Ginn Reading Program (GRP) and how teachers implement the program in their classrooms. Before describing Ginn's application of the CBAM in their work with teachers, it is important to establish the model's perspective on change.

Basic Assumptions of the CBAM

A number of basic assumptions about change have been derived from the extensive experience with educational innovation in school and college settings. These assumptions provide the foundation of the Concerns-Based Adoption Model and formulate the model's perspective on innovation adoption.

1. In educational institutions change is a process, not an event. Too often policymakers, administrators, and even teachers assume that change is the pivotal result of an administration decision, legislative requirement, new curricular acquisition, or procedural revision. They casually assume that a teacher will put aside an old text and immediately apply with great sophistication a new program. As reflected in CBAM, the reality is that change takes time and is achieved only in stages.
2. The individual must be the primary target of interventions designed to facilitate change in the classroom. Other approaches to change

(e.g., Organizational Development) view the composite institution as the primary unit of intervention, and place their emphasis upon improving communication and other organizational norms and behaviors. CBAM, however, emphasizes working with individual teachers and administrators in relation to their roles in the innovation process. CBAM rests on the conviction that institutions cannot change until the individuals within them change.

3. Change is a highly personal experience. Staff developers, administrators, and other change facilitators often attend closely to the trappings and technology of the innovation and ignore the perceptions and feelings of the people experiencing the change process. In CBAM, it is assumed not only that the change process has a personal dimension to it, but that the personal dimension is often of more critical importance to the success or failure of the change effort than is the technological dimension.
4. The change process is not an undifferentiated continuum, but rather is developmental. Individuals involved in change go through stages in their perceptions and feelings about the innovation, as well as in their skill and sophistication in using the innovation.
5. Staff development can best be facilitated by the use of a client-centered diagnostic/prescriptive model. Too many inservice training activities address the needs of trainers rather than those of the trainees. To deliver relevant and supportive staff development, facilitators need to diagnose the location of their clients in the change process and to direct their interventions toward resolution of those diagnosed needs.

6. The staff developers or other change facilitators need to work in an adaptive, yet systematic way. They need to stay in constant touch with the progress of individuals within the larger context of the total organization that is supporting the change. They must constantly be able to assess and reassess the state of the change process and be able to adapt interventions to the latest diagnostic information.

To accomplish all this, a conceptual model of the change process must provide practical reference points on a constantly changing array of events. The Stages of Concern about the Innovation dimension of the Concerns-Based Adoption Model is proposed as one framework that staff developers can use to aid in diagnosing, planning, delivering, and assessing the effects of inservice activities.

Stages of Concern About the Innovation

The Concerns-Based Adoption Model provides a structure that takes into account each of the assumptions about the innovation-adoption process. Three aspects of change form the basic frame of reference of the model: the users' concerns about the innovation, how the innovation is acutally used, and the ways in which the innovation can be adapted to the needs and styles of particular individuals. Stages of Concern about the Innovation (Hall, George, & Rutherford, 1977) focuses on the concerns of individuals about the innovation and their involvement with it.

The power of the concerns theory lies in the assumption that the process of change is a personal experience for each individual involved in it. Everyone approaching a change, initially implementing an innovation, or developing skill in using an innovation will have personal perceptions,

feelings, motivations frustrations, and satisfactions about the innovation and the change process.

The concept of "concerns" has been developed to describe these perceptions, feelings, and motivations. Research studies have verified a set of stages that people appear to move through when they are involved in innovation implementation. These Stages of Concerns about the Innovation provided a key diagnostic tool for determining the content and delivery of inservice activities.

The concept of concerns was first described by Frances Fuller (1969). In her research, Fuller identified a set of concerns preservice teachers expressed as they moved through their teacher education program. These concerns changed from initial concerns unrelated to teaching, to concerns about self in relation to teaching, to task concerns about teaching, to impact concerns.

As the concept of teachers' concerns was being disseminated, it became apparent that the concept had similar application to individual teachers and college professors involved in implementing various educational innovations. Seven Stages of Concern about the Innovation were identified (see Figure 1). When dealing with an innovation, it appears that a person's stages of concern move through the progression from self, to task, to impact that Fuller has described.

Assessing Stages of Concerns

There are several alternative ways in which the staff developer can collect data about concerns from the individuals involved in an ongoing innovation-adoption process. The simplest is informal conversational assessment or an informal interview. The "interviewer" can ask leading questions, listen for clues in informal discussions, evaluate requests for

Figure 1

Definitions: Stages of Concern about the Innovation*

6 REFOCUSING: The focus is on exploration of more universal benefits from the innovation, including the possibility of major changes or replacement with a more powerful alternative. Individual has definite ideas about alternatives to the proposed or existing form of the innovation.

5 COLLABORATION: The focus is on coordination and cooperation with others regarding use of innovation.

4 CONSEQUENCE: Attention focuses on impact of the innovation on students in his/her immediate sphere of influence. The focus is on relevance of the innovation for students, evaluation of student outcomes, including performance and competencies, and changes needed to increase student outcomes.

3 MANAGEMENT: Attention is focused on the processes and tasks of using the innovation and the best use of information and resources. Issues related to efficiency, organizing, managing, scheduling, and time demands are utmost.

2 PERSONAL: Individual is uncertain about the demands of the innovation, his/her inadequacy to meet those demands, and his/her role with the innovation. This includes analysis of his/her role in relation to the reward structure of the organization, decisionmaking and consideration of potential conflict with existing structures or personal commitment. Financial or status implications of the program for self colleagues may also be reflected.

1 INFORMATIONAL: A general awareness of the innovation and interest in learning more detail about it is indicated. The person seems to be unworried about himself/herself in relation to the innovation. She/he is interested in substantive aspects of the innovation in a selfless manner such as general characteristics, effects, and requirements of use.

0 AWARENESS: Little concern about or involvement with the innovation is indicated.

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*Original concept from Hall, G. E., Wallace, R. C., Jr., & Dossett, W. A. (1973). A developmental conceptualization of the adoption process within educational institutions. Austin: Research and Development Center for Teacher Education, the University of Texas at Austin.

Measurement described in Hall, G. E., George, A. A., & Rutherford, W. L. (1977). Measuring stages of concern about the innovation: A manual for use of the SoC Questionnaire. Austin: Research and Development Center for Teacher Education, the University of Texas at Austin.

input and support made by the teacher. What conversational assessment lacks in scientific rigor, it makes up in ease of use and cost effectiveness. The method is unobtrusive and does not readily solicit misleading information.

More formal, an open-ended statement of concerns can be solicited by asking for a written response to the question, "When you think of (the innovation) what are you concerned about?" A manual (Newlove & Hall, 1976) is available that gives instructions for administering and scoring this simple assessment device.

The most formal and precise measure of Stages of Concerns is the SoC Questionnaire (Hall, George, & Rutherford, 1977). The questionnaire consists of 35 items, each of which has a Likert scale (not true of me now . . . very true of me now) on which respondents indicate their present degree of concern about the topic described in the item. There are five items for each of the seven Stages of Concern.

The questionnaire takes about 15 minutes to administer and can be scored either by hand, using percentile tables, or by computer. SoC data when plotted on a graph results in a concerns profile which can be interpreted by analyzing the "peaks" and "valleys" of the profile. The questionnaire is psychometrically rigorous and reliable enough to provide both meaningful research data and information for planning change strategies.

Ginn's Application of Stages of Concern

An understanding of the Concerns-Based Adoption Model and Stages of Concern has helped Ginn and Co. service personnel to revamp their inservice workshops for teachers. In the past, workshops were frequently based on the concerns of the principal and reading supervisors. Now a consistent attempt is made to assess teachers' concerns using either an open-ended statement of

concern or an informal interview in person or by telephone. The entire service package offered to new customers has been simplified to reflect the stages of concerns of non-users progressing to early users and finally, later in the adoption cycle, to users concerned about impact. Before using the concept of Stages of Concern, initial installation inservice was often geared to impact concerns. Now, this early inservice focuses on awareness, informational and personal concerns, and is followed up later in the year with attention to management concerns. Workshops targeted at impact concerns are not offered to new users but are presented only when teachers have become fully familiar with the program and are comfortable with its use. Handouts used in all of the inservice sessions are now developed to relate more closely to specific stages of concerns being addressed in each workshop. The company has seen their approach to inservice using the concept of Stages of Concern result in teachers reaching a routine, stabilized use of the reading program much faster than with the approach that was used previously.

Some Specific Examples

In 1982, prior to the national release of the Ginn Reading Program, a study was conducted with teachers piloting the program to monitor their concerns through the first year of implementation. It was found that when teachers received inservice based on the concept of Stages of Concern, they did not develop intense management concerns related to use of the program, and at the end of one year of implementation, management concerns were minimal and use of the program had stabilized. This finding indicates that the concerns-based approach to inservice was a viable means to use for future implementations.

More recently, in a district where teachers were in their first year of using the Ginn Reading Program, it was determined that some teachers had

management concerns, while others clearly had impact concerns. Because of this situation teachers were divided into two groups. One group received a half day on management issues, while the other was provided with a half day targeted at impact concerns. By using this strategy, teachers were provided with inservice that dealt more directly with their needs and the actual time they spent in the inservice session was reduced and used more efficiently.

In Summary

Ginn and Co. has used Stages of Concern to redesign the implementation assistance they provided to teachers who are using the Ginn Reading Program. This approach has resulted in inservice that is more closely related to customer needs. A number of implications for staff development can be derived from these experiences and can also be applied by others who assist teachers with the task of implementing programs.

1. Attention to concerns should begin prior to actual implementation. The early contacts with teachers related to a program should address their initial awareness, informational, and personal concerns. When implementation begins, support should be provided to address management concerns. Interventions related to impact concerns should not become the primary focus until teachers have stabilized with their use of the program.

2. Staff development targeted at concerns provides more of the support teachers and principals need in the change process at the specific times that they need it. This approach decreases the stress and trauma related to new program implementation and thus is viewed more positively by the participants.

3. The experiences of Ginn and Co. indicate that when the concerns-based approach to inservice is provided, teachers use of the program stabilized more quickly. This faster implementation is important because student outcomes cannot be expected to be as great when a program is only partially implemented or is being used by the teacher in a disjointed or mechanical way.

4. Finally, the concerns-based approach to staff development saves both time and money. Providing staff development is a costly endeavor both in terms of teachers' and service personnel's time and money to support inservice activities and release time for teachers. Utilizing the concerns-based approach ensures that valuable time and

money will not be wasted by providing teachers with inservice activities that are inappropriate to their current needs and concerns.

In conclusion, Ginn and Co. have found Stages of Concern very helpful in meeting the inservice needs of teachers using their reading programs. And, incidently, the company has also found concerns theory to be very helpful in working with their own personnel as they have been involved in launching new programs and developing a new service division.

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USING A CONCERNS-BASED STAFF DEVELOPMENT MODEL TO IMPLEMENT A DISTRICT-WIDE PRIMARY INTEGRATED CURRICULUM

Marge Melle

Jefferson County Schools
Lakewood, Colorado

Paper presented at the annual meeting of the
American Educational Research Association
Chicago, 1985

Using a Concerns-Based Staff Development Model to Implement a District-Wide Primary Integrated Curriculum[1]

Marge Melle

Coordinator of Early Childhood/Primary Integrated Curriculum
Jefferson County Schools
Lakewood, Colorado

I want to share with you a practitioner's use of research. Having worked with Gene Hall, Shirley Hord, Sue Loucks, et. al at the University of Texas Research and Development Center some time ago in another capacity, I was aware of all components of the CBAM project. Maybe our curriculum, the Primary Integrated Curriculum, is the first to be developed from its very inception with the CBAM model in mind. The Stages of Concern, Levels of Use, intervention strategies and configuration checklists all were included. I am not going to talk about all of these. Today, I merely want to share some interesting, simple data around the use of the Stages of Concern (SoC) in the implementation inservice of an innovation. The change to be implemented is called The Primary Integrated Curriculum (PIC). It was developed by administrators and teachers to be used in first and second grades by teachers who are traditionally schooled to teach reading and who have many responsibilities for a very young child's education.

Curricula areas other than reading, math and the skills of language arts at these grade levels did not get taught in a balanced manner due to time constraints in the instructional day. We had to find the time and methods to

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[1]Speech presented at the annual meeting of the American Educational Research Association, Chicago, March, 1985.

teach science, social studies, career education, environmental education, health and safety, and some of the aspects of language arts. The Primary Integrated Curriculum integrated these six subjects and was to be taught for the equivalent of 40 minutes a day using an experiential method of learning. In other words, it was a hands-on program in which teachers had to cope with much and varied equipment as well as young children, working in small cooperative groups using problem solving/critical thinking skills. (See Table 1 for the program objectives of the Primary Integrated Curriculum.)

Making a change in our district, the largest in Colorado, is not easy. There were approximately 400 teachers in 76 elementary schools who implemented the program and continue to work to institutionalize it. It was a major change for a large number of people.

Since "change is a process, not an event" and since it takes place over time to individuals, we began with a district (board, administrators, teachers) agreement that each individual would be working at "installation" over a 15 month period.

We began by getting people at all levels of the district aware of what was going to happen. In the May before the September of the first group's implementing the program (we did it in a series of stages because of our large district), we started defining the program--what it was, how it came about, and the time lines of development. We shared this at an administrative workshop for principals. We had already worked with the board, the superintendent, the area superintendents, with the public and the newspapers. The higher level of administrators and the community were aware of the innovation and had information about our game plan. Now we had to bring background and details to school principals. Information was shared in a 2-½ hour workshop. We told them what was going to be happening with their

Table 1

GENERAL PROGRAM OBJECTIVES FOR
PRIMARY INTEGRATED CURRICULUM

Students will:

- Explore and manipulate materials and objects in their real world.
- Develop the skills of observing, describing, identifying, ordering, classifying, and determining differences and similarities.
- Ask questions, use a variety of ways to find answers to questions, and develop the ability to solve problems that are part of their immediate world of home, school and neighborhood.
- Be aware of how their immediate actions affect their environment, themselves, and other people, and how the environment affects them. They will act with a sense of responsibility toward themselves, peers, family, friends, neighbors and the natural environment.
- Begin developing the skills and attitudes needed to interact with other individuals and groups in a constructive way.
- Begin developing their unique talents and sense of worth through a variety of experiences from their immediate world.
- Begin developing and understanding the ability to maintain good physical health and safety.
- Be able to express their feelings, and tell how their feelings and the feelings of others affect behavior.
- Recognize that there are recurring social and natural events in their immediate environment.
- Understand and use societal conventions and practices appropriate for primary students.

teachers, when their materials were going to arrive, all the details that would answer administrative concerns so that the principals could go back to their buildings and become a support system for the teachers who would be beginning the installation. Following the principal's workshop, we had an orientation with the teachers. We did not talk about this "wonderful program for kids." We gave them their guides and said "These are the tricks for finding your way through this guide. You can look at it over the summer if you want to, but what we want you to know is

1. Next year we will see you for three days of inservice. The dates are _____. The way you get your substitute is _____.

2. This is a list of materials that are going to arrive in your building and the date of their arrival.

3. If you want to start doing anything now, please plan your reading and math program. It will take you extra time to plan PIC next year so that any time you can give yourself will help. It is new. It will be different."

We gave them details, answers to address their informational and personal concerns so that we could keep those personal concerns at a very low ebb.

In September, they started teaching the program the first day of school. ("Getting started" arouses managerial concerns.) Three weeks into the program they came for the first day of inservice. The inservice was all day and offered a variety of activities. The inservice was planned to address managerial concerns and to lower any personal concerns that teachers had. Teachers did activities with the actual equipment from the kits. Seeing, examining, doing, questioning and sharing took place throughout the day. Activities addressing impact concerns were also presented--generic teaching skills, if you will. Teachers came to the inservices in September and January, and finally in April. Substitutes covered their classes for each of the whole release days. (See Table 2 for the implementation inservice time line.)

Table 2

Timeline for Implementing the Primary
Integrated Curriculum in 76 Elementary Schools
(38 schools per year)

May	Administrative workshop - Area Superintendents/Principals 1/2 day. Overview of curriculum, materials, timelines for implementation, administrative support information.
	Teacher Informational Meeting - 2 hours after school. Address informational and personal concerns. Give guides, overview of format, inservice timelines, suggested teaching calendars, materials list and arrival schedules.
Sept.	Teacher First Inservice - Release day. Planned to meet personal and managerial concerns. Address concerns - hands-on practise with units for first half of year - record keeping
Jan.	Teacher Second Inservice - Release day. Planned to meet managerial and impact concerns. Address concerns - hands-on practise with each unit for second half of year - Model "facilitator" role - cooperative learning instruction.
April	Teacher Third Inservice - Release day. Planned to meet managerial and impact concerns. Address concerns - practise problem solving and discussion techniques - present Key Features (critical components) of the program.
Sept.-June	Drop in "comfort and caring" visits from central office, as well as responding to requests and concerns.

In between inservices, we conducted comfort and caring sessions. We went into teachers' classrooms and worked with them, answering questions. Administrators were not in their classrooms during the actual PIC teaching time for the first half of the year. If you have personal concerns, the last thing you want is an expert there while you are trying new ideas! However, all of our inservices were run by teacher trainers who could be called upon to model behavior and help in the classrooms.

What were the results of such an installation process? The PIC program is implemented in all first and second grade classrooms in our district. When you address the concerns of participants in an inservice, those participants react positively. They consider their time well spent and give positive responses. The content of the inservice is seen as meaningful and then applied in classrooms.

We asked for feedback at the end of each inservice day. The first section of this reaction sheet measured responses on a six-point Likert scale. Consider the information in Table 3. Out of the 266 participants in the 3 days of inservice, 78% found it "informative," and 80% found it "well organized." The "happiness coefficient" of one year of inservice was very high. It was by getting these "pulse readings" of the group's concerns that we became aware of "the mushroom." (Mushrooms, according to those at CBAM, are unplanned growths that root in the dark for no apparent reason and grow large and multiply before anyone is aware of them. Mushrooms can be either positive or negative and can have a great impact on the implementation of an innovation.)

Compare the data in Table 4, from just this one inservice session, to that in Table 3. The data looked different and indicated a need for attention. In this case, the inservice delivered did not address this

Table 3

Participants' Reactions to Inservices
as measured on a six point Likert scale

	% responses in categories 1-2	% responses in categories 3-4	% responses in categories 5-6	
Boring	3%	27%	70%	Interesting
Irrelevant	2%	17%	81%	Relevant to my needs
Not Informative	0%	22%	78%	Informative
Not Organized	2%	18%	80%	Well Organized

N = 266 participants
7 sessions

Table 4

Reactions from One Inservice That Indicated a "Mushroom"

	% responses in categories 1-2	% responses in categories 3-4	% responses in categories 5-6	
Boring	9%	43%	47%	Interesting
Irrelevant	0%	36%	64%	Relevant to my needs
Not Informative	0%	36%	64%	Informative
Not Organized	2%	33%	66%	Well Organized

N = 58 participants

particular group's concerns. Immediate follow-up was needed in order to prevent the risk of implementation being averted. We sought answers from teacher participants and their principals, and found that several things had happened. First of all, the coordinator was not in attendance. Because the lead person in the creation/development/coordination of the program was absent, they asked different kinds of questions, and, therefore, answers to usual questions were "off target." We had teachers who literally started rabble-rousing. The inservice leaders, their fellow teachers, were inundated. They did not/could not answer the specific questions they received. Personal needs and concerns rose with each avoided question: "Why do we have so many materials? How come the money was put into these materials instead of giving us more textbooks?" The kinds of questions expected in the first inservice came out in the second, and the inservice leaders didn't have the administrative answers to those. People were more concerned than they needed to be. Short memos, phone calls and some minutes at the beginning of the next inservice answered questions and concerns. Because we were alerted to "the mushroom," we could stop its growth before it multiplied. Our inservices were again helping teachers.

Final evaluation of each inservice day also included participants' writing open-ended statements. These statements were categorized as shown in Table 5. Personal concerns focused on the individuals' feelings of inadequacy and other adults' perceptions of them: "I need more adults to help me when I do this kind of thing because I can't keep the kids under control." "The noise level is bothering others." "The interacting with all this stuff and interacting in small groups and talking to each other is too much. I know my fellow teachers are very upset with me." "I can't cope with all of the curriculum. It's not just your program, it's everybody's program."

Table 5

Categorization of Comments

Personal Concerns	Managerial Concerns	Impact Concerns
Getting more adults to help.	Preparation time for set-up.	Cooperative Learning/ Grouping.
Noise level bothering others.	Planning time.	Multi-aging.
Coping with total curriculum.	Enough time in class period.	Enrichment/Gifted activities.
Class size being overwhelming.	Materials-where, what.	Relationship to "the basics."
Feel inadequate to evaluate.	Space - to teach or store materials.	Differing levels of student abilities.

Other comments obviously indicated managerial concerns. They related to organizing time, materials and students.

Impact concerns were started such as the following: "I'd like to know more about handling this cooperative learning in my classroom." "It's going okay, but I think we can do more." "Multi-aging, how do I reach the needs of all kids in the classroom?" and "What can I do to extend for gifted enrichment activities?"

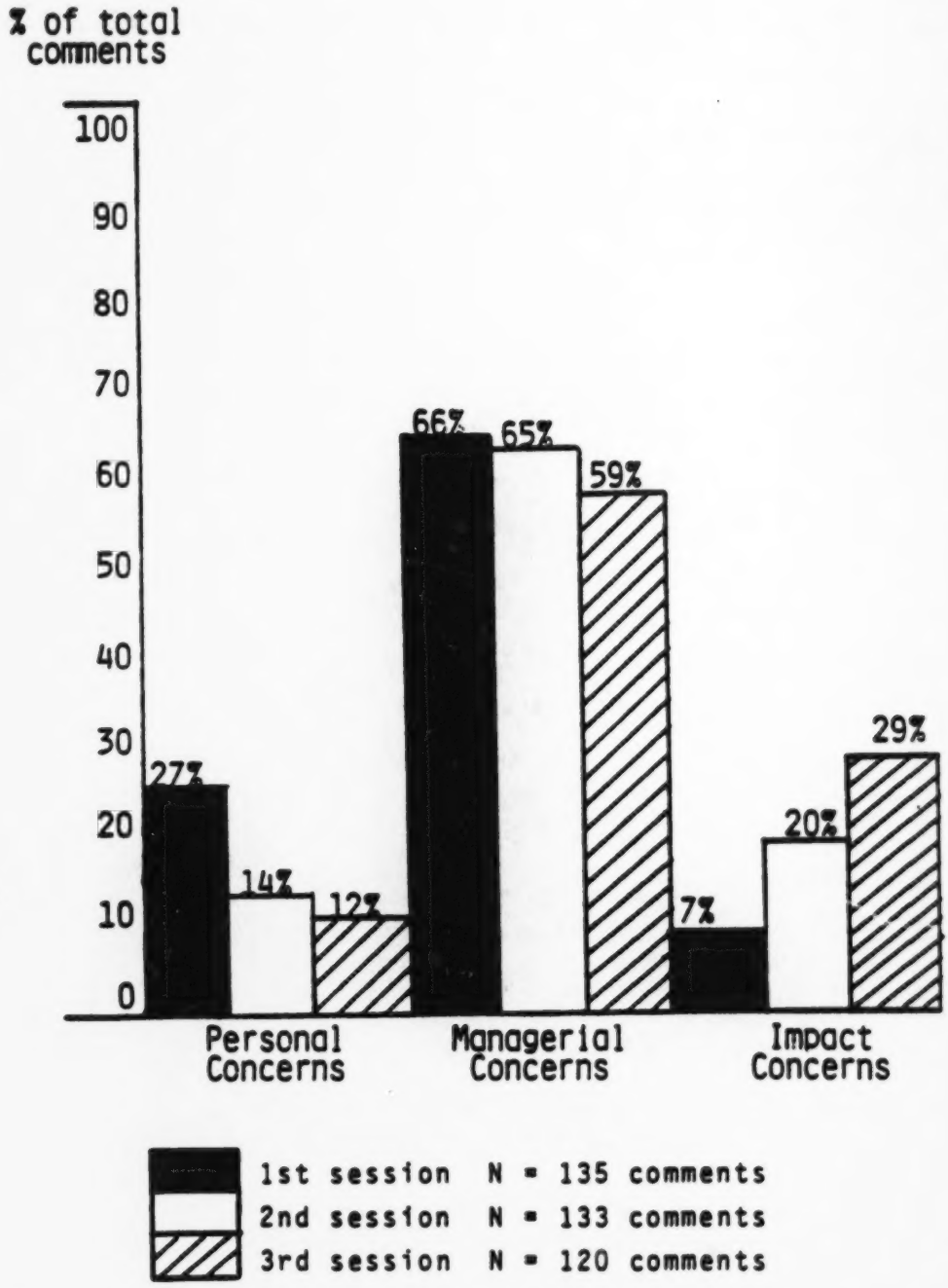
Our easy and natural data collection (the kind practitioners do and use best) showed trends that followed the CBAM research. Teachers had different Stages of Concern at different stages of implementation. The concerns were predictable. When introduced to PIC, before using it teachers' concerns were highest at the awareness, informational and personal stages. For inexperienced users -- those just starting and following the guide in hand -- their peak concerns were managerial. As time progressed, impact concerns -- "What does all this mean for the students?" -- began to rise for the more experienced user. With a program of such major change, we do not expect truly experienced users for two to three years.

Look at Table 6. The personal concerns lessened from the first to the third workshop (one academic year). The impact concerns, low in the first session, were on the rise by the last session. Managerial concerns remain high, but with a hands-on program they are going to stay high for quite a while. A wave motion has begun. We have reason to believe impact concerns will continue to increase as managerial concerns decrease. Teachers will begin modifying the program to meet their students' needs.

For our first session, we got 135 open-ended comments. In our second session we had 133 responses. The number of comments, i.e., the number of expressed concerns, did not lessen. Many concerns were evident throughout the

Table 6

Stages of Concern Based on Open-ended Statements written by Participants at each of the Three Sessions of the Inservice



first year of implementation. During the second we have found affect, the emotional aspects of change, greatly decreased. Concerns expressed during school visits or in follow-up workshops are considerably fewer and greater in the impact stage.

The CBAM process has been effective in implementing a major change project in a large school district. Well developed curriculum is not useful unless implemented and institutionalized successfully.

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A PROGRESS REPORT THAT COUNTS

Madalyn McDonald Cooke

Austin, Texas

Paper presented at the annual meeting of the
American Educational Research Association
Chicago, 1985

A Progress Report That Counts[1]

Madalyn McDonald Cooke

"The superintendent expects me to make a presentation to the school board in February to report the status of the new reading program. Are you available to help me do some of the LoU interviewing?"

THE SETTING

The query came from a colleague who was the curriculum director in a nearby school district served by the regional education service center for which I worked. As coordinator of basic skills in this intermediate agency in South Texas, I frequently received calls to assist schools in evaluating programs. This call was different.

The school district, located in a medium sized suburban setting, was in the first year of a court-ordered busing plan to achieve racial equality throughout the district's four elementary schools. (Only one junior high and high school campus exist and were not involved in the court order.) The court's plan called for distributing the elementary students by grade level clusters to the four campuses: K-1, 2-3, 4, 5-6.

Prior to this year, each elementary campus was autonomous in using the basal reader provided by the state textbook adoption process to configure the reading program. Three of the four principals afforded the reading teachers much liberty in using the textbook in the classroom and made little attempt to coordinate instructional practices within or between grade levels. However, one of the elementary principals and his staff were using a management system

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[1]Paper presented at the annual meeting of the American Educational Research Association, Chicago, April 1, 1985.

in conjunction with the basal program and were coordinating the instructional program, K-6, within the campus.

Realizing the new grade-level configuration would play havoc with a student's learning continuum, the district reading committee spent the previous year carefully constructing a five-year plan to implement a Reading Management System to insure continuity for each student as he/she moved through the grade levels. A committee composed of teachers and administrators worked for several months to develop not only the instructional program, but also an implementation plan.

Realizing also that the elementary teachers would be going through a great deal of change (new campus assignments, new reading program and text, new computer-based record keeping system, and in some cases, a new principal), the superintendent also involved the administrative staff in an extensive training session on change process. Conducted by staff and CBAM cadre members of the Research and Development Center for Teacher Education at U.T., Austin, the session taught instructional leadership facilitation skills using the Concerns-Based Adoption Model (CBAM). Stages of Concern (SoC), Levels of Use (LoU), Innovation Configuration (IC), and Intervention Strategies were components of the six day session. All principals, as well as program directors, the assistant superintendent, and the curriculum director attended.

THE PROBLEM

The phone call came in December; the reading program had been operational for only five months, hardly enough time to impact student growth. However, when a school board asks, "How's the program going?", members usually expect to hear reports on improved students' scores--after all, what else can you measure? The problem was to collect formative evaluation data, analyze it, and present the findings in a meaningful manner to the school board at the

February meeting. In all the careful planning of this innovation, one aspect of the district, critical to the change process, was forgotten: the Board of Trustees. The task fell to the curriculum director who was summoning outside assistance. As part of the administrative team who had participated the year before in the change process training, the curriculum director recognized the importance of studying the implementation process and first determining the extent to which the teachers were actually using the program, a method described in Measuring Levels of Use of the Innovation: A Manual for Trainers, Interviewers, and Raters (Loucks, S. F., Newlove, B. N. & Hall, G. E., 1975). At this point in time, it was important to interview teachers and find out how many were using the essential components of the program and what use looked like from campus to campus. If the percent of teachers performing at specific Levels of Use as defined in CBAM could be reported, a meaningful picture of the status of the implementation process could be given (Figure 1). To assess student impact at this point in time would be meaningless.

PREPARATION

The curriculum director and I outlined the strategies we would use to meet the board's request as well as to provide valuable information to the curriculum director and the elementary principals as they worked in their respective roles as instructional facilitators to the reading program.

Our first task was to decide which teachers would participate in the interviews. Knowing that time would not allow us to interview all 115 elementary teachers in the district, we decided to focus our attention on a smaller sample. The four principals were asked to nominate one teacher per grade level from each of their respective campuses. This random selection produced a sample of twenty-four (24) teachers, or approximately 20% of the total staff. Kindergarten teachers were not included in the sample.

Figure 1

LEVELS OF USE OF THE INNOVATION: TYPICAL BEHAVIORS

	LEVEL OF USE	BEHAVIORAL INDICES OF LEVEL
USER	VI RENEWAL	THE USER IS SEEKING MORE EFFECTIVE ALTERNATIVES TO THE ESTABLISHED USE OF THE INNOVATION.
USER	V INTEGRATION	THE USER IS MAKING DELIBERATE EFFORTS TO COORDINATE WITH OTHERS IN USING THE INNOVATION.
USER	IVB REFINEMENT	THE USER IS MAKING CHANGES TO INCREASE OUTCOMES.
USER	IVA ROUTINE	THE USER IS MAKING FEW OR NO CHANGES AND HAS AN ESTABLISHED PATTERN OF USE.
USER	III MECHANICAL USE	THE USER IS MAKING CHANGES TO BETTER ORGANIZE USE OF THE INNOVATION.
NONUSER	II PREPARATION	THE INDIVIDUAL IS PREPARING TO USE THE INNOVATION.
NONUSER	I ORIENTATION	THE INDIVIDUAL IS SEEKING INFORMATION ABOUT THE INNOVATION.
NONUSER	0 NONUSE	NO ACTION IS BEING TAKEN WITH RESPECT TO THE INNOVATION.

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Estimating that each interview would take about forty-five minutes, we prepared a schedule that would allow the two of us to complete the interviews in two days during the third week in January.

The second task required was to reach an agreement of "what is the Reading Management System (RMS)?" The district had already prepared a component checklist of the Reading Management System (RMS) as part of the Innovation Configuration training the year before (Figure 2). The essential components and acceptable teacher behavior were already defined. During an early planning meeting, the curriculum director and I reviewed the checklist, allowing me to question the intent of the specific components, and to update my understanding of the district's use of the computer to score and record student progress.

Finally, we were ready to formulate the list of questions we would ask our respective twelve teachers during the focused interview. Using the Level of Use branching format (Figure 3), we personalized our instrument by substituting the words "Reading Management System" for "innovation" in the questions (Loucks, Newlove and Hall, 1975). We also listed some questions to probe for additional data on several of the components.

PROCEDURE

Teachers who participated in the interviews were told that the information given to us would be used to evaluate the status of the reading program to date, and that it was in no way an attempt to evaluate their performance in the program. All written reports and comments were confidential and anonymous. As interviewers, we encouraged the teachers to be honest and open in answering the questions.

The focused interviews were conducted during the teachers' respective planning periods, either in the classroom or, in a few cases, in the teachers'

Figure 2

VARIATIONS OF R.M.S. COMPONENTS

CBAH Components

Component 1: Testing

(1)	(2)	(3)	(4)
All teachers will use I.P.I. to help place students at their instructional level. Achievement test and past records will also be used.	Achievement tests and past records used for placement.	Only I.P.I. results used to place students at their instructional level (new student with no background information only).	Placed according to grade level only. No testing.

(1)	(2)	(3)
A diagnostic test will be administered to each student and used with teacher observations to help pinpoint weak areas at the start of each level.	Teacher observations used to help pinpoint weak areas without testing.	Teacher moves through the book without focusing on weak points.

(1)	(2)	(3)	(4)
A post-test will be used with each student to determine mastery or non-mastery of identified skills after each level is completed. Supplementary specific skill tests may be administered immediately following the teaching of a skill. Reteaching will occur as necessary.	Specific skill tests administered. Reteaching will follow as necessary.	Teacher-made tests administered. Reteaching will follow as necessary.	No follow-up testing No reteaching.

Component 2: Grouping

(1)	(2)	(3)
Teacher and principal meet to determine which instructional levels shall be placed in the same classroom; No more than 3 instructional levels/classroom.	More than 3 groups per classroom required.	No grouping is arranged.

(1)	(2)	(3)
3 or more groups are created to provide small-group instruction according to need of students and expertise of teacher.	2 large groups are formed for instruction.	No small groups are utilized. The class is taught as a whole.

Component 3: Materials

(1)	(2)	(3)
Basal Workbook Skill Practice Masters Supplementary Materials Wide variety of games, manipulatives, kits, centers, etc.		
At least 3 different program materials, including the basal and 2 supplemental materials, are used with each child over a 3 day span.	At least 2 different program materials, including the basal, are used together with 1 supplemental material every 3 days for each child.	Less than 2 different program materials are used every 3 days with each child.

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Component 4: Instructional Strategies

(1)	(2)	(3)	(4)
Direct teaching strategies are utilized to teach all four skills (Decoding, Comprehension/Literary Language, Study Skills) as cited in the teacher's guide. Practice sheets used to follow direct teach.	Direct teaching strategies used for most skills.	Practice sheets used to introduce new concepts/skills. Direct teach follows.	Practice sheets used to introduce concepts/skills. No direct teach.

Figure 2 (continued)

Component 4: Instructional Strategies

(1)	(2)	(3)	(4)
Teachers on all campuses follow the same scope and sequence.	Teacher follows the same general scope and sequence with minor modifications made by individual campuses.	Each campus follows a different scope and sequence.	There is no scope and sequence followed.

Component 5: Record-keeping

(1)	(2)	(3)	(4)
Diagnostic test and post-test recorded on individual student profile card for each objective.	No record of I.P.I. No pre-test record made. Only post-test on individual student profile card.	No test records.	

Component 6: Scheduling

(1)	(2)
Children are taught reading/ spelling at least 90 minutes a day.	Children are taught reading/ spelling less than 90 minutes.

Component 7: Evaluation Process

(1)	(2)	(3)	(4)	(5)
Each principal meets with teacher and coordinator to assess progress periodically. Levels of Use (LoU) and Stages of Concern Conferences held with grade level representatives on each campus.	Each principal calls meeting with teacher on an emergency basis to discuss the program.	Principals meet with coordinator to assess progress.	Evaluation of process at the end of the school year by survey.	No evaluatio.

Component 7: Evaluation Product

(1)	(2)	(3)
A post-test will be used with each student to determine mastery or non-mastery of identified skills after each level is completed. Supplementary specific skill tests may be administered immediately following the teaching of a skill. Achievement test administered.	Achievement test administered.	No tests.

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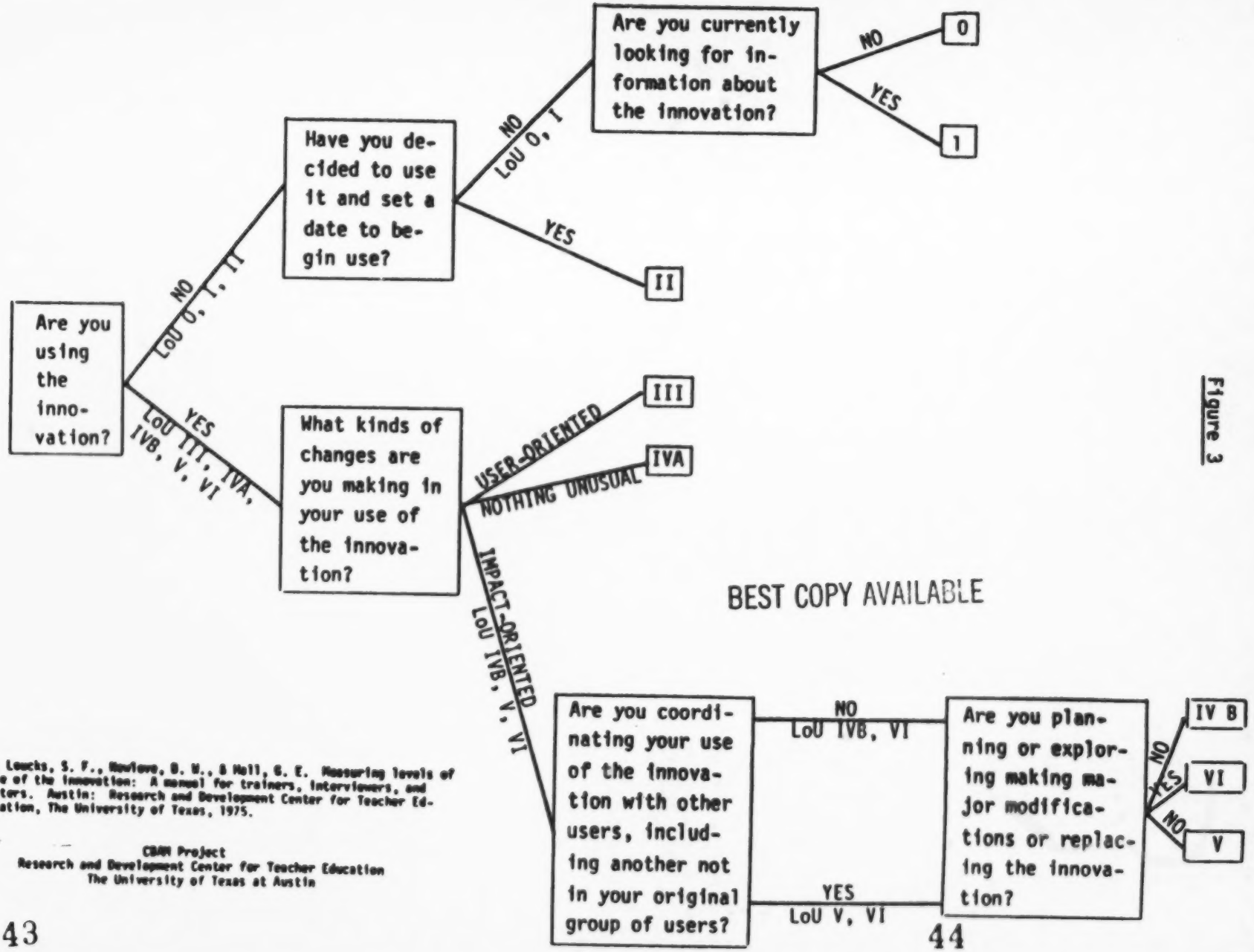

Figure 3

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From: Loucks, S. F., Newlove, B. W., & Hall, G. E. Measuring levels of use of the innovation: A manual for trainers, interviewers, and raters. Austin: Research and Development Center for Teacher Education, The University of Texas, 1975.

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lounge. Teachers were generally eager to talk and to describe their involvement with the RMS. In several cases, teachers asked for specific help, information, or materials. We took notes on these requests and where possible, filled the requests. For example, one teacher asked for a headset jack to use in the listening center. Although seemingly unrelated to the RMS, having this independent learning center available to a small group of first grade students helped her as she worked with another group in a teacher-directed activity (an essential element of the RMS). Another seemingly unrelated concern to the RMS resulted in scheduling computer time for a teacher to score weekly math tests. More of her time could then be used planning lessons for the RMS, rather than grading math tests which was consuming most of her time.

As certified LoU interviewers, we recorded teachers' responses on the standard LoU Rating Sheet and summarized the findings (Figure 4). After each day of interviewing, we met to debrief and to report our assessments to each other.

FINDINGS

"I'm enjoying the new reading program. I certainly know much more about my students and their progress than I ever have before. The materials we have to work with are a big improvement over those we've been using for the last eight years." This response was typical of the remarks made by twelve, or 50% of those interviewed. These teachers were assessed to be LoU IVA, ROUTINE. They reported being comfortable with the innovation and had few, if any, plans for changes. Teachers at the ROUTINE level are the "Developer's Dream;" that is, they are using the program exactly as it was intended. By asking probing questions about each of the essential components of the RMS, we determined that each was being used adequately or ideally.

LEVEL OF USE RATING SHEET

Tape #: Site: Interviewer:
Date: / / I.D. #: Rater:

Level	Knowledge	Acquiring Information	Sharing	Assessing	Planning	Status Reporting	Performing	Overall LoU
Non-Use D.P. A	0	0	0	0	0	0	0	0
Orientation D.P. B	I	I	I	I	I	I	I	I
Preparation D.P. C	II	II	II	II	II	II	II	II
Mechanical Use D.P. D-1	III	III	III	III	III	III	III	III
Routine D.P. D-2	IVA	IVA	IVA	IVA	IVA	IVA	IVA	IVA
Refinement D.P. E	IVB	IVB	IVB	IVB	IVB	IVB	IVB	IVB
Integration D.P. F	V	V	V	V	V	V	V	V
Renewal	VI	VI	VI	VI	VI	VI	VI	VI
User is not doing:	ND	ND	ND	ND	ND	ND	ND	
No information in interview:	NI	NI	NI	NI	NI	NI	NI	

Figure 4

Past User _____ Estimated past LoU _____

The amount of information in the interview was:	insufficient for rating	1	2	3	4	5	6	7	very adequate for rating
The interviewee:	does not fit on the chart	1	2	3	4	5	6	7	fits well on the chart
The interviewee:	was very difficult to interview	1	2	3	4	5	6	7	was no problem to interview

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"I am using the program, but sometimes I feel like it's using me. I can't seem to find the time to get to the computer room to score the students' tests. The three different reading levels are driving me nuts when it's time to find practice materials for them. I'll be glad when our resource files are full and ready for me to use on a minute's notice!" Problems with logistics, materials, and daily scheduling of students and assignments are typical of behaviors of teachers at LoU 5, MECHANICAL. This group exerts a great deal of energy in operating the program because they function on a day-to-day basis. Long-range planning is out of the question because the teachers have not yet internalized the program or seen the "Big Picture." The interviewing procedure identified eight, or 33%, of the teachers at this level of implementation (Figure 5).

Figure 5

DISTRIBUTION

LEVELS OF USE

0	I	II	III	IVA	IVB	V	VI
4.5%	0	0	33%	50%	12.5%	0	0

"Yes, I'm using the program, but I've made a few changes. Let me show you what I've done with my grouping chart." Three teachers, or 12.5%, were identified as LoU IVB, REFINEMENT. These teachers are using the program but have made some slight changes to benefit the student. They solicited information and materials to assist in the change being made and made some long-range plans for a better way to "get the year started" next September.

"No, I haven't scored the diagnostic tests. My students are already ability grouped and I don't think I need to put them into smaller groups. They're doing O.K." One teacher admitted NON-USE, LoU 0. She had attended the training and had the materials in her classroom, but was not implementing RMS, and she had no intention of starting the program during the school year.

We found 62.5% of the teachers sampled at LoU IVA and IVB, a figure representing tremendous progress. For so many teachers to be "over the hump and comfortable" by January of the first year of implementation is remarkable. This accomplishment was highlighted in the report to the board members. Teachers and administrators were commended for their hard work and commitment to improving reading achievement in the district. No major changes in the district's long-range plans were necessary.

IMPLICATIONS

Although the overall status of the implementation process appeared to be ahead of schedule and in good shape, the LoU interviews revealed other information about teachers' concerns and needs. Principals were given information about the Levels of Use found on their respective campuses and suggestions for targeted interventions were made. As instructional leaders, the principals are responsible for facilitating the priority program. Principals were encouraged to schedule LoU III teachers to observe in LoU IVA and IVB classrooms in order to see the program in progress. Likewise, IVA teachers were encouraged to share ideas and explanations with teachers who were struggling with the day-to-day operation. In order to build the teachers' resource file of practice activities, the curriculum director arranged for a teacher's aide to photocopy one campus' collection of teacher-made materials for the other three campuses. With these abundant materials matched to the objectives of the RMS, LoU III teachers would have access to

prepared materials, reducing the effort required to prepare for the different reading level groups.

As a result of this study, plans for August inservice called for IVA and IVB teachers to lead sessions on administering the diagnostic tests. With their successful experience and time-saving methods, they were expected to share helpful ideas to the MECHANICAL, LoU III teachers. Principals were urged to identify NON-USERS and to meet with them, discussing their concerns and setting a date by which they would begin using the RMS. Not only at the campus level, but also at district administrative meetings, the principals continually talked about teachers' use of RMS and they shared ideas for facilitating the program's success.

THE REPORT

In February, the curriculum director reported to the school board on the progress of the Reading Management System to date. As an introduction to her presentation, she reviewed the implementation plan which had been approved by the board the previous year. The plan had indicated that significant increase in student test scores would not be anticipated until the third year of implementation. The reading committee had recognized the fact that a change as monumental as a sophisticated, district-wide reading program would take as much as two to three years before the teachers were using the program. Therefore, until the program was being used, significant student improvement could not be measured.

With this groundwork, the curriculum director then explained the CBAM's concept of Levels of Use by labeling and defining the eight levels. Charts were used to display the statistical findings, and implications for each were stated. Board members learned that teachers' use of the RMS was actually

ahead of schedule and that teachers were using the new computers purchased by the board to alleviate the "paperwork" associated with the reading program.

Additionally, board members learned that the administrators in the district also knew how to diagnose a teacher's Level of Use in a more informal way, by using the "one-legged conference." This technique was learned during the six-day training session described earlier. This diagnostic information about a teacher guides the principal as he or she acts as an instructional leader, providing helpful interventions targeted at a specific LoU.

In the report, examples of interventions for various LoU's were given. Board members then developed a working understanding of the principal's role as instructional leader--the person who is responsible at the campus level for implementing the RMS. Some board members had not perceived the principal's role in program implementation in this way before. Using LoU to measure implementation progress is sensible and do-able. In this district where all key administrators, and school board members, were trained in CBAM concepts, a common bond, a concept of change, and a "language" were available for use across the district. After providing initial understanding of CBAM concepts to the board members, the curriculum director was able to deliver a progress report that counts!

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ADDRESSING TEACHERS' PERSONAL CONCERNS IN STAFF DEVELOPMENT EFFORTS

David D. Marsh
University of Southern California

Maryalice Jordan-Marsh
University of California, Los Angeles

Paper presented at the annual meeting of the
American Educational Research Association, Chicago, April, 1985.

Addressing Teachers' Personal Concerns in Staff Development Efforts[1]

David D. Marsh
University of Southern California

Maryalice Jordan-Marsh
University of California, Los Angeles

Hall, Wallace and Dossett (1973) proposed that practitioners typically pass through a predictable sequence of Stages of Concern as they take on an innovation. These Stages of Concern (SoC) are based on a definition of concern as "an aroused state of personal feelings and thought about a demand as it is perceived" by the individual (Hall, George & Rutherford, 1979). Stages of Concern is one of three parts of the Concerns-Based Adoption Model (CBAM) which also includes the level of actual implementation of the innovation by the individual, using a framework known as Levels of Use (LoU), and the ways in which the innovation has been implemented in practice using a framework known as Innovation Configuration (IC).

As individuals move through the process of adopting an innovation in their local setting, they are seen as moving through seven Stages of Concern (Hall, George & Rutherford, 1979). These stages are: Awareness, Informational, Personal, Management, Consequence, Collaboration and Refocusing. The stages and their definitions are presented in Figure 1.

Stages of Concern can be assessed in several ways: by means of a standardized questionnaire using 35 Likert items, by an open-ended written statement of concerns, or by a brief informal interview. Hall, George and Rutherford (1979) describe the validity and reliability of the questionnaire

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[1]Paper presented at the annual meeting of the American Educational Research Association, Chicago, April, 1985.

Figure 1

Definitions:

STAGES OF CONCERN ABOUT THE INNOVATION*

6 REFOCUSING: The focus is on exploration of more universal benefits from the innovation, including the possibility of major changes or replacement with a more powerful alternative. Individual has definite ideas about alternatives to the proposed or existing form of the innovation.

5 COLLABORATION: The focus is on coordination and cooperation with others regarding use of the innovation.

4 CONSEQUENCE: Attention focuses on impact of the innovation on students in his/her immediate sphere of influence. The focus is on relevance of the innovation for students, evaluation of student outcomes, including performance and competencies, and changes needed to increase student outcomes.

3 MANAGEMENT: Attention is focused on the processes and tasks of using the innovation and the best use of information and resources. Issues related to efficiency, organizing, managing, scheduling, and time demands are utmost.

2 PERSONAL: Individual is uncertain about the demands of the innovation, his/her inadequacy to meet those demands, and his/her role with the innovation. This includes analysis of his/her role in relation to the reward structure of the organization, decision-making and consideration of potential conflicts with existing structures or personal commitment. Financial or status implications of the program for self and colleagues may also be reflected.

1 INFORMATIONAL: A general awareness of the innovation and interest in learning more detail about it is indicated. The person seems to be unworried about himself/herself in relation to the innovation. She/he is interested in substantive aspects of the innovation in a selfless manner such as general characteristics, effects, and requirements for use.

0 AWARENESS: Little concern about or involvement with the innovation is indicated.

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*Original concept from Hall, G. E., Wallace, R. C., Jr., & Dossett, W. A. A developmental conceptualization of the adoption process within educational institutions. Austin: Research & Development Center for Teacher Education, The University of Texas, 1973.

Measurement described in Hall, G. E., George, A. A., & Rutherford, W. L. Measuring stages of concern about the innovation: A manual for use of the SoC Questionnaire. Austin: Research & Development Center for Teacher Education, The University of Texas, 1977.

as well as procedures for scoring the instrument and interpreting the results. Newlove and Hall (1976) describe the less rigorous means of collecting open-ended statements about practitioner concerns and how these statements can be scored and interpreted. The informal interview provides change facilitators with a rough, but quickly obtained view of the Stage of Concern of each practitioner interviewed.

SoCs have been used to document the shift in teacher concerns over time in several research studies (Hall, 1979; Loucks, 1977; Loucks & Melle, 1980) and to reflect implementation success as a dependent variable in a major study of principal leadership style and intervention tactics (Hall, et al., 1984). SoCs were also used as a dependent measure in a quasi-experimental study of the effects of participation in interactive research and development on teachers (Huling, 1982).

The use of SoCs to facilitate change efforts is less well developed. Hall (1979) has proposed interventions based on field-based practitioners that are related to the SoC framework. He also has proposed ways that SoCs and LoUs can guide program development, validation and dissemination efforts (Hall, 1981) and studied the effects of organizational development interventions on Stages of Concern (Ruch & Hall, 1982). In general, however, little research has been conducted on the viability and effects of mediating change efforts using SoC data.

This paper focuses on conceptualizing strategies for the clinical application of Stages of Concern as a means to understand, conceptualize and address the concerns of teachers as they implement an innovation. More specifically, it focuses on a problem that change facilitators report is paramount--addressing the personal concerns of practitioners. Personal concerns are especially important at this time for several reasons:

1. School Reform Mandates and Pressures. Mandates for school reform frequently have implicitly or explicitly blamed teachers for past problems yet insisted on their participation in the proposed corrective practices. Teachers consequently have felt personal concerns such as a sense of harassment and of not being appreciated.

2. Tensions Between Professional and Bureaucratic Conceptions of the Teaching Profession. Wise and Darling-Hammond (1984) describe the tension between a bureaucratic and a professional conception of teacher evaluation. The bureaucratic orientation consists of treating all teachers in the same manner through the use of rules and regulations, and emphasizing minimum acceptable performance. In contrast, a professional orientation consists of a flexible, growth-oriented and differentiated evaluation approach. This distinction between bureaucratic and professional orientations can be generalized to issues such as implementing innovations, and is critically related to the problem of resolving teachers' personal concerns.

Teachers have felt strong personal concerns about being caught between these two conceptions of their role in schools. Moreover, district and school-based administrators frequently complain that teachers: a) are more interested in protecting themselves by bureaucratic means such as the teacher contract than in improving instruction through the implementation of needed reforms, and b) lack the proper professional orientation to their jobs to make curriculum change possible. In essence, teachers' personal concerns related to the professional/bureaucratic tension are seen as a major roadblock to school reform.

3. Possible Resolutions of Personal Concerns Are Difficult To Define and Package. Strategies for resolving personal concerns are rarely simple or easily generalizable. Unlike powerful instruction training programs,

strategies for resolving personal concerns can not be easily transported. Moreover, district leaders have often felt that it is not wise to cater to such concerns which are often viewed as "unprofessional" behavior on the part of individuals who can be characterized as "resistors" to the innovation. The alternate view proposed by the CBAM staff, that personal concerns are a natural stage (but not permanent condition) of persons implementing an innovation, is not necessarily the common view among district leaders.

Having now established the importance of a focus on the personal concern stage, it is possible to turn directly to the issue of how such concerns can be meaningfully understood and addressed. Hall, George and Rutherford (1979) describe personal concerns as follows: "(The) individual is uncertain about the demands of the innovation, his/her inadequacy to meet those demands, and his/her role with the innovation. This includes analysis of his/her role in relation to the reward structure of the organization, decision-making and consideration of potential conflicts with existing structures or personal commitment. Financial or status implications of the program for self and colleagues may also be reflected."

For discussion purposes, the set of personal concerns defined above has to be sorted into three clusters: a) organizational/political/professional, b) decision-making/commitment, and c) self-task. The clusters are not designed to be mutually exclusive but, instead, represent useful ways to organize the analysis and proposed strategies for addressing personal concerns. Emphasis in this paper will be given to the second and third clusters, and to several lines of research in psychology which can guide strategies for addressing these clusters of personal concerns. In our view, these psychologically oriented strategies are needed if personal concerns are to be meaningfully addressed.

The Organizational/Political/Professional Cluster

The first cluster consists of the organizational, political and professional aspects of personal concerns. Included here are concerns about, "his/her role in relation to the reward structure of the organization" as well as, "financial or status implications of the program for self and colleagues." In short, this cluster has a distinctly organizational sociology and cultural flavor to the personal concerns delineated.

Strategies for addressing these personal concerns have a common theme: they seek to establish the perception for individual teachers that the organization will be supportive of their choice to engage in the change effort. While the actual implementation of the change may not have begun--in LoU terms, the teacher is not yet a user of the innovation--the teacher still needs to feel that: a) the organization values and has a priority for the proposed change, b) the organization will reward eventual users, c) a solid network of support and assistance will be available, d) there will be a collegial effort to implement the change--a teacher will not be isolated, e) there is enthusiasm about the change, and f) there will be protection against potential "enemies."

The curriculum change literature is rich with implications and strategies for how the organizational sociology dimensions of personal concerns can be addressed. Although these strategies don't always focus on the specific issues of rewards and status as such, they do propose ways to develop a sense of organizational priority and pressure for the change, a sense of enthusiasm and support for persons undertaking the change, and the importance of finding the activity rewarding within the organization. Unfortunately, in practice, teachers often are rewarded for carrying out an innovation by being "invited" to undertake a modification of that innovation.

Strategies related to this cluster also emphasize the importance of collegiality norms, and networks of assistance and support. Especially useful in this regard is the work on collegiality (Little, 1981; Little & Galagaran, 1984); networking (Lieberman & Miller, 1984; and Loucks, 1983); supportive leadership (McLaughlin & Marsh, 1978); peer coaching (Joyce & Showers, 1980, 1982; Showers, 1984, 1985), and status analysis and the politics of exchange (Taylor, Sullivan & Dollar, 1978). For example, personal concerns are resolved when teachers are networked to provide assistance to each other through peer observation, use of problem-solving meetings, and opportunities to give and receive advice and support. It is assumed that this literature is well known to this audience and need not be explored at great length in this paper.

Decision-Making/Commitment Cluster

Hall, George and Rutherford (1979) identify personal concerns as also focusing on, "...decision-making and consideration of potential conflicts with the existing structures or personal commitment." Of course, the extent that teachers actually decide about engaging in an innovation varies dramatically in practice. In some cases, teachers have great latitude to choose whether to try an innovation or not. In other cases, the innovation is mandated by administrators or policy makers, leaving teachers little choice about their involvement in the innovation. Yet, in any case, the teacher's commitment and choice about the nature of his or her involvement in the innovation is very important.

The generic importance of this second cluster of personal concerns is validated in the psychological literature, particularly the literature on conflict and decision-making. In a frequently quoted article, Janis and Mann (1976) discuss several psychological dimensions of decision-making. Janis and

Mann describe the stressful nature of decision-making, particularly the stress arising because of anticipated material and social losses that may accrue from the decision and from recognition that reputation and self-esteem are at stake. They go on to conclude that the resulting stress is the major cause of errors in decision-making. These errors have a price over time in terms of the ability and willingness of the individual to adhere to the decision.

Janis and Mann postulate that people cope with resolving a difficult choice in one of several different patterns. These patterns center on a characteristic mode of information processing that governs the type and amount of information the decision-maker will prefer. Their model suggests that this information preference is not so much a personality characteristic but a reflection of circumstances. These circumstances include the presence or absence of the following three conditions: awareness of the risks involved, hope of finding a better solution, and the time available to make the decision.

Drawing on this conception of decision-making, the task of the change facilitator is to bring about the conditions necessary for the most adaptive coping pattern. The first step is to create a situation in which decision-makers systematically confront and answer questions about risks and gains specific to the decision at hand. Janis and Mann propose using a balance sheet to take account of both the cognitive and motivational aspects of planning for future action. Analysis of the balance sheets prepared by individuals making stressful decisions indicates that thoroughness in filling out the sheet is essential to subsequent adherence to the decision. Errors of omission and commission make the decision-maker more vulnerable to negative feedback as the decision is implemented. Given the current climate in schools which often minimizes change as a value, and given the lack of prestige

accorded teachers, it is important to be sensitive to the likelihood of negative feedback and to spend adequate time on the balance sheet.

The balance sheet can be drawn as a grid where the first cell represents incentives for the status quo and the second cell represents costs of maintaining present practices. The third cell represents incentives for adopting the new practice and the fourth cell provides an opportunity for anticipating problems with the new approach.

The balance sheet procedure is easily implemented in a workshop format where group members can construct a sheet that is personally relevant, sharing only what they choose with the group. This sharing process can maximize the likelihood that all of the possible alternatives are reviewed. Janis and Mann also recommend that the change agent construct a list of common considerations or reservations that are expressed by others when faced with a similar decision. After the teacher spontaneously generates his/her concerns on the balance sheet, the previously constructed list of considerations can be circulated and comments from the group elicited. By providing the list before group sharing begins a measure of privacy can be ensured. Group members can comment on possible considerations that appeared on the change agent's list without revealing whether they have appeared on their own list. An example of a balance sheet pertaining to a teacher who is deciding about an innovation is presented in Figure 2.

The second task of the change facilitator in promoting adaptive decision-making is to maximize the sense that there is hope that the innovation represents a better solution. It is at this point, perhaps, that it is most clear that the traditional school district jargon which reserves to administrators the title of decision-maker has actually been very limiting in promoting change. In actual practice, the administration makes only the very

Figure 2

A Sample Balance Sheet

Situation: John, a 53-year-old white male teacher in a large urban school district, has been asked to volunteer for the staff integration program. If he volunteers, he will be reassigned from his middle-class suburban high school to teach the same subject, social studies, at an inner-city senior high school.

	Pros	Cons
Accepting New Assignment	* the extra pay is very attractive	* I'm afraid my car will be ripped off at the new school
	* I would like to help disadvantaged students	* I doubt I have the skills to teach "these" students
	* the district is pushing us to accept this transfer; I'd like to help	* It is a long drive to the new school
Retaining Old Assigment	* My students like me	* The student composition is changing at my home school; I don't enjoy it as I used to
	* Students enjoy my jokes/ humor	
	* I know how to get along at this school	* I just can't teach some students and that number is growing
	* My lessons are planned; teaching doesn't take all my time	* I'm very bored as a teacher; the routine is so bland I could die

early decisions about whether a change is necessary or desirable and sometimes what form(s) it should take. Any hope of success is actually tied to the decisions of individual teachers about implementing the innovation. This hope is strengthened by examining the individual teacher's concerns, as laid out in the balance sheet, and introducing strategies for minimizing disincentives and maximizing the likelihood that anticipated incentives will be experienced. Without negating the importance of the organizational structural support for change which was discussed earlier, it is important to appreciate our neglect of the individual decision-maker and the tasks he/she is confronted with.

The balance sheet would be used differently when the original decision to implement the innovation was made by external administrators or policy makers. Here the emphasis with teachers would be to help them assess: a) the worth of the innovation despite their concerns about their loss of control over the decision, b) their personal orientation toward the innovation and the benefits/costs of their opposition to it, c) their opportunity to shape the innovation as it will exist in practice. The balance sheet can also be used to emphasize the importance of impact concerns (SoC 4) as well as personal concerns in a teacher's decision to become involved with an innovation.

Balance sheets can be generated and used in several ways to help teachers address personal concerns. Individual teachers can generate a balance sheet for themselves or (with arrangements for confidentiality) for a planning group at a local site. Successful balance sheets have also been generated by a group as they report or imagine their own or other teachers' personal concerns toward an innovation. Balance sheets can be used as a planning tool to head off debilitating personal concerns and to prepare for resolving less severe ones, or as a problem-solving tool useful for responding to intensely felt concerns once they have appeared. While some personal concerns of teachers

may be idiosyncratic and unsolvable, many personal concerns are predictable, resolvable and sufficiently common to a group of teachers that external assistance is feasible and helpful.

At this point, it is important to remember that there are quite different forms of personal concerns. It is likely that the balance sheet and the decision-making strategy would be very helpful to the teacher or group of teachers who are fearful or hesitant about choosing the innovation. In turn, it would be hard to use these strategies with a large group of teachers who are openly hostile toward the innovation and do not want to consider the advantages or disadvantages of its use. Use of the balance sheet with an individual hostile teacher, however, is quite possible if the person is willing to discuss the advantages and disadvantages of use of the innovation. A planning group can also use the balance sheet to great advantage in preparing for a set of hostile teachers in a local setting.

The literature on cognitively oriented strategies for helping individuals make decisions about proposed changes is very extensive. The work by Janis and Mann and the use of the balance sheet are only cited as concrete examples to illustrate the conceptual framework and helping strategies which the literature suggests. Watson and Tharp (1985) provide a host of related concepts and helping strategies as well as a careful practitioner-oriented synthesis of the literature in this area.

Self-Task Cluster

The final component of personal concerns includes an uncertainty about, "...the demands of the innovation, his/her inadequacy to meet those demands, and his/her role in the innovation" (Hall, George & Rutherford, 1979). Resolution of these issues is the task that confronts the individual asked to implement the innovation and the change facilitator whose task it is to foster

adaptive decision-making by building confidence in the innovation as a more desirable and a feasible solution.

It has long been thought that the way to increase desired behavior--in this case, participation in the innovation--is to provide incentives or reinforcers for responding appropriately to specific stimuli. However, Bandura (1982) has argued that people process and synthesize information over long intervals and multiple situations and actions rather than simply responding to immediate stimuli. In contrast to earlier reinforcement theory, he has taken the position that what the individual believes about future outcomes and the anticipated consequences is more powerful than traditional ideas about incentives. When initially contemplating an innovation, Bandura points out, people will avoid situations they believe exceed their coping skills, but they do get involved in activities or prefer to stay in situations which they judge themselves capable of handling.

The task of the change facilitator is to create conditions in which individuals can see that the outcome will be worthwhile for them in some fashion, and secondly that they are capable of carrying out the innovation in a way that will lead to fulfillment of their goals. This sense of capability or mastery, which Bandura calls "self-efficacy expectation" determines how much effort individuals are willing to expend, and how hard and how long they will persist in the face of obstacles. Some research suggests that self efficacy expectations may be a more powerful predictor of behavior than either outcome expectancies or past performance (cf. Sherer, Maddux, Mercandante, Prentice-Dunn, Jacobs & Rogers, 1982). It is important to appreciate that expectations alone are not sufficient without the corresponding component capabilities. However, in the past many inservice programs focused on developing capabilities to the exclusion of confronting teacher expectancies about outcomes and personal efficacy in achieving those outcomes.

The goal of the change agent, Bandura (1977) has suggested, is to reduce defensive behavior by using four sources of information about personal efficacy. The four sources of information for building self-efficacy are: performance accomplishments or mastery experiences, vicarious experience using live or symbolic modelling, verbal persuasion with either face-to-face or mediated sessions, and emotional arousal which involves cognitive appraisal of psychological reactions to anxiety or stress. Performance accomplishments are the most effective (Bandura, 1982). In turn, the dominant instructional strategy, the lecture or verbal persuasion, is actually the least effective in changing behavior. Unfortunately, this strategy is used by many programs in education in the form of one-shot workshops or as hype designed to entice teachers into undertaking the innovation. Needless to say, it frequently does not work.

Performance appraisal is enhanced when the teacher gets to practice the innovation under limited conditions where success is highly likely. Strategies such as the use of microteaching are important sources of information for initial performance appraisal. The importance of performance appraisal also underscores the need for active experimentation with the innovation, rather than reliance on extensive passive planning activities prior to implementation.

Emotional arousal is also a source of self-efficacy information and the dimension of attribution. Cognitive appraisals, or attributions, are increasingly recognized in psychology (Meichenbaum, 1977) as powerful tools in promoting behavior change. Changing cognitive attributions is the delicate art of getting people to see situations in a new light, to give themselves new

messages about the situation or event. The goal is to take a self-defeating message or attribution explaining why one does not participate in the intervention and turn it into an affirming statement that validates probable competence or expectations for self-efficacy in the tasks required by the innovation.

Using the balance sheet, the facilitator can invite individuals/workshop participants to review their current situation and appreciate that they are not completely satisfied with it--that is, to acknowledge that there might be room to consider an alternative solution. By examining each of the cells in one's own balance sheet, teachers can gain insight into criteria they hold for evaluating their experience of work. For many individuals these may have been implicit and not easily articulated in response to open-ended questions (e.g., "Well, what concerns do you have about doing x?"). Reviewing these criteria provides the facilitator with a means of establishing the link between the worth of the innovation in an abstract sense and its worth at a more personal level. This is a necessary prerequisite to determining the extent to which the individual feels capable of carrying out what is required by the innovation. It is beyond the scope of this paper to detail other strategies for inducing each of the sources of information. Ample examples are provided in the literature; for example, see Watson and Tharp, 1985.

Conclusion

This paper has focused on how strategies for addressing personal concerns can be understood and developed. Our argument has been that the curriculum change literature has a relatively strong base of sociologically oriented strategies, but psychologically oriented strategies are needed as a complement, especially for addressing personal concerns. The psychological literature on decision-making and efficacy has not been utilized to any great

extent and offers real prospects for helping address the personal concerns of teachers about implementing an innovation. Several specific concepts from the work of Janis and Mann and Bandura have been presented and several practical uses of their ideas have been illustrated. Beyond these illustrations, however, lie a rich literature and set of strategies for helping. We feel this literature needs to be applied to helping teachers implement change.

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Susan Loucks-Horsley
The NETWORK
Andover, Massachusetts

What a challenge! First, in my role as critic or discussant. Since Gene recognized David in a positive way, I'll critique him as the organizer of this symposium. It is interesting to me that Gene and I are the discussants in this session when we are going to have quite different concerns about all of the things we have heard than many of you for whom this is the first time you ever heard of this stuff called "CBAM, SoC, LoU," and so forth. It would have been interesting if we had had somebody who didn't know anything about the Concerns Based Adoption Model thinking about or reflecting on these papers. It would definitely be interesting to all of us, I'm sure, if some of you would give us some reflections on it. Anyway, from people who have similar high stages of concern about this kind of work, let's see what we have to say.

What I want to do for each paper is mention something that I found really significant about it, because there are many significant things about each, and then I also want to raise some questions or concerns that I have that would extend or enhance the work that is reported.

Let me start with the Ginn paper. To me what's really important is, as we all acknowledge, the fact that textbook companies control so much of what is taught in schools, and here is a textbook company that is taking that responsibility seriously. That is quite a significant part of that particular paper.

One of the things that I wonder about with respect to this paper is how concerns differ when the innovation is a textbook series that may not (and in this case, it is really a question: does it?) substantially change the act of teaching within a classroom. My stereotypic image of a textbook series is, you can the old ones and replace them with new ones. Potentially, the one that Raymonde is talking about makes some real changes in the teaching of teachers, but contrast textbook replacement with something like what Marge is talking about, which totally changes the nature of a significant part of the teaching day in those primary classrooms. I wonder how concerns differ between those two places, whether the kinds of concerns that peak out are different. The other question I have about the Ginn paper is, how does one motivate people who are sales-oriented -- who are in the phraseology of the school biz, "adoption-oriented" -- who are trying to get people to buy something? How do you orient those people, reorient them, to think about how people actually use what they buy? It's very much of a resource allocation question. Why would they ever want to help people use something well, when before they were oriented toward getting them to buy it? I think certainly Raymonde and Gene together have accomplished that within this major company. Is there any way we can think about that for other organizations, commercial and noncommercial as well?

Let's move to the Melle paper. To me what is very important about the Jeffco situation is that Marge and her colleagues there who think about concerns in this way have kept the big picture in mind. At the same time that they are dealing with people as individuals, they are also looking at substantial changes, substantial changes in classrooms over a substantial number of teachers. They have been able to look at and, in fact, institutionalize a

model within a district that really does do both of those things. It attends to all of the concerns of the individual as well as having an umbrella support system that deals with the organizational concerns.

I have a few things that I am curious about with respect to the data that Marge collected, that I think are worth pointing out. You may have noticed that management concerns stayed very high after three inservice sessions. They decreased, but they still stayed high. Very early in the CBAM research we found management concerns staying really high for people using team teaching. It strikes me that both of those innovations arouse lots of time concerns, lots of concerns about management. I wonder whether this means that after three inservice sessions and all the support, these people are still feeling very uncoordinated and going crazy in their classrooms. I would guess that they are not. Their concerns are still with time and management, but they are not off the wall. What I wonder is what a Level of Use indication would be in that particular setting, because teachers could be very routinely going about the use of that program, although their concerns still were somewhat in the management area. That's one kind of question I would ask. Another thing I would point out is that there is a substantial decrease in personal concerns which validates what David just talked about. When we deal with management concerns, personal concerns tend to go down. As soon as people start getting information, as soon as they start getting help in their use of the curriculum itself, their sense of inadequacy decreases. That was a nice overlap between two papers.

Let me go on to Madalyn's paper. To me the important issue here is being responsive to the public. We have boards of education all over, and we've got people in policymaking and decisionmaking positions who need be educated about what it takes to make substantial changes in a school. They are certainly making a lot of decisions that don't deal with what it takes, but here is an important example in which those concerns were taken care of directly through this particular kind of work. Something I should tell you about this paper is that I'm taking it back to The NETWORK and I'm sharing it with all the people in my organization who work with schools. It is a beautifully written paper, a beautifully written example of theory into practice. I highly recommend it because it brings all of this research stuff right down to the grass roots, to the trenches.

There is an issue here, though, that I think is interesting. Madalyn indirectly convinced the board that they didn't need achievement data early on, and I think that that has to be an issue for everybody who is dealing with such decisionmaking boards. I think it would be an interesting discussion to have about how to convince people that they can wait for achievement data. You can look at her paper and see what it is she gave to the board. I sense that what was said to the board was equally as compelling to convince them that they could wait another year to know that this program really made a difference and their investment made sense. I think that's an issue we all have to deal with, and it would certainly be worth more discussion.

David's paper is interesting to me because it is conceptual, and I don't read many pieces that dig into CBAM very deeply conceptually. To me it is important because, as David said, dealing with self concerns is probably ranked the most difficult by practitioners in facilitator roles. Not dealing with personal concerns in many cases can totally derail an effort; it can

totally wipe it away. We have to deal with them, but it is not really clear all the time how to do that.

What I think David's paper does is, as Madalyn quoted Gene, "It peels off another layer of the onion." I would suggest that we have to peel it at least one more layer. Here are some things that I think we ought to be attending to in peeling that other layer. One of the problems is the vast differences in people. As we talk about people's personal concerns, we note that they are idiosyncratic. Approaching them with a group strategy, even one like the analysis that David did (he talked about it as a personal strategy he used with this one person, but I sort of read it as a group strategy that you do in a workshop.), wouldn't it be interesting to figure out how to do that. In my experience, there are so many differences in people that relate to their personal concerns, including the kinds of incentives that work for them, the amount of input into decisionmaking they need, the amount of self-confidence they have. All those things are extremely variable. How do you go about dealing with those kinds of differences as you think about personal concerns?

Another point. David mentioned that we know a lot of strategies that are sociologically oriented that we can do organizationally. We can provide support and rewards, for example. We don't know many psychologically oriented strategies. I say, "Hold on!" I wouldn't cast off the sociologically oriented strategies quite so easily because I think, as someone once said, "Common knowledge is not common practice." We're still not supporting people the way we need to. We're still not building things in that we know we should be. It's in our brains but it's not in our behavior yet. I think we need to continue to make sure that the sociologically oriented strategies are built into addressing concerns.

Finally, let me just point out a concern about the whole notion of decisionmaking. I think we have to be very, very clear with people about what prerogative they have in decisionmaking. It's easy to mislead them into thinking that they can, in fact, make a decision to do or not do something when, in fact, they can't. In the case that David brought up, the teacher was given the choice of whether or not to move across the district. In Marge's case, however, teachers used the PIC program because it's a district curriculum, and they signed a contract; using it or not using it was <u>not</u> a decision they could make. Those two black-and-white cases point out that there are decisions that teachers can make, and there are decisions teachers cannot make. In between, we all know there are a lot of gray areas. For example, you get a mandate from the district or from the state and there is some wiggle room in there. Teachers can, for example, be given the opportunity to decide how or even when to implement something. We need to think about how we can structure choices for people because we know that when people make choices they own the decisions that they make, or there is more chance that they are going to own those decisions. I think that the whole area of decisionmaking and how it relates to personal concerns is really important. I'd also love to see a case study or two built into David's paper.

Gene E. Hall
Research and Development Center for Teacher Education
The University of Texas at Austin

I would like to add two things to what has been said. I think this has been a powerful and impressive session. It is clear that there are a number of very able people picking up on the CBAM work. They are using the concepts and procedures in a variety of settings, and using them in responsible ways. In addition, they are making a difference. One thing I am really excited about that I don't know how many of you observed was that each of the presenters placed heavy emphasis on their analyzing the interventions they were making. They were thinking and calculating about what they were doing. By way of contrast, we heard very little about the innovations that were being implemented -- the PIC program, a reading program, and the Ginn Service program, but that was not the dominant theme. The innovations were the background for thinking about the process of change and how to effectively facilitate the process based on systematic assessment of clients' concerns. That's the part that was most exciting to me.

David Marsh's theoretical explorations I also found exciting. The subdivisions, so to speak, of the dynamics of Stage 2 personal concerns and the linkages to other models and theories made surprisingly good sense. I hope David will do more with this paper. Others need to see how different perspectives can be interrelated, and the deeper meanings of the Stages of Concern were clearly illustrated in David's presentation. Sue was right, another layer has been peeled off the onion.

I look forward to the significant contribution that each of the presenters will be making to practice, research, and theory in the future.